

FORM PTO-1449 (modified)  
 To: U.S. Department of Commerce  
 (PW FORM PAT-1449)  
 Patent and Trademark Office

INFORMATION DISCLOSURE STATEMENT  
 BY APPLICANT

Date: November 20, 2001

Page **1** of **2**



|                              |         |                            |
|------------------------------|---------|----------------------------|
| Atty.<br>Dkt. No.            | M#      | Client Ref.                |
|                              | 0281109 |                            |
| Applicant: Althouse et al.   |         |                            |
| Appln. No.: 09/929,339       |         |                            |
| Filing Date: August 15, 2001 |         |                            |
| Examiner: Unassigned         |         | Group Art Unit: Unassigned |

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 Technology Center 2600

U.S. PATENT DOCUMENTS

| Examiner's Initials* | Document Number | Date MM/YYYY | Name (Family Name of First Inventor) | Class | Sub Class | Filing Date (if appropriate) |
|----------------------|-----------------|--------------|--------------------------------------|-------|-----------|------------------------------|
| CL                   | AR 4,589,285    | 05/1986      | Savit                                | 73    | 655       |                              |
| CL                   | BR 5,022,730    | 06/1991      | Cimimi et al.                        | 385   | 27        |                              |
| CL                   | CR 5,208,819    | 05/1993      | Huber                                | 372   | 32        |                              |
| CL                   | DR 5,380,995    | 01/1995      | Udd et al.                           | 250   | 227.18    |                              |
| CL                   | ER 5,392,117    | 02/1995      | Belleville et al.                    | 356   | 480       |                              |
| CL                   | FR 5,394,415    | 02/1995      | Zucker et al.                        | 372   | 26        |                              |
| CL                   | GR 5,397,891    | 03/1995      | Udd et al.                           | 250   | 227.18    |                              |
| CL                   | HR 5,401,956    | 03/1995      | Dunphy et al.                        | 180   | 227.18    |                              |
| CL                   | IR 5,430,574    | 07/1995      | Tehrani                              | 359   | 378       |                              |
| CL                   | JR 5,591,965    | 01/1997      | Udd                                  | 250   | 227.18    |                              |
| CL                   | KR 5,673,129    | 09/1997      | Mizrahi                              | 398   | 95        |                              |
| CL                   | LR 5,680,489    | 10/1997      | Kersey                               | 385   | 12        |                              |
| CL                   | MR 5,691,989    | 11/1997      | Rakuljic et al.                      | 372   | 20        |                              |
| CL                   | NR 5,706,301    | 01/1998      | Lagerström                           | 372   | 32        |                              |
| CL                   | OR 5,780,843    | 07/1998      | Cliché et al.                        | 280   | 226       |                              |
| CL                   | PR 5,818,585    | 10/1998      | Davis et al.                         | 356   | 477       |                              |
| CL                   | QR 5,825,792    | 10/1998      | Villeneuve et al.                    | 372   | 32        |                              |
| CL                   | RR 5,838,437    | 11/1998      | Miller et al.                        | 356   | 478       |                              |

FOREIGN PATENT DOCUMENTS

|    | Document Number | Date MM/YYYY | Country | Inventor Name | English Abstract |    | Translation Readily Available |    |
|----|-----------------|--------------|---------|---------------|------------------|----|-------------------------------|----|
|    |                 |              |         |               | Enclosed         | No | Enclose                       | No |
| SR |                 |              |         |               |                  |    |                               |    |
| TR |                 |              |         |               |                  |    |                               |    |
| UR |                 |              |         |               |                  |    |                               |    |
| VR |                 |              |         |               |                  |    |                               |    |
| WR |                 |              |         |               |                  |    |                               |    |

OTHER (Including in this order: Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

|    |     |   |  |  |
|----|-----|---|--|--|
| CL | XR  | Derickson, Dennis, "Fiber Optic Test and Measurement", Hewlett Packard Co., 1998, pp. 95-109. |  |  |
|    | YR  |   |  |  |
|    | ZR  |   |  |  |
|    | AAR |   |  |  |
|    | BBR |   |  |  |

Examiner *Christina Y. Leung* Date Considered: *10-6-05*

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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| 0281109           |    |             |

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 BY APPLICANT

Date: November 20, 2001

Page 2 of

Applicant: Althouse et al.

Appln. No.: 09/929,339

Filing Date: August 15, 2001

Examiner: Unassigned

Group Art Unit: Unassigned

U.S. PATENT DOCUMENTS

| Examiner's Initials* | Document Number | Date MM/YYYY | Name (Family Name of First Inventor) | Class | Sub Class | Filing Date (if appropriate) |
|----------------------|-----------------|--------------|--------------------------------------|-------|-----------|------------------------------|
| CL                   | AR 5,889,901    | 03/1999      | Anderson et al.                      | 385   | 12        |                              |
| CL                   | BR 5,892,582    | 04/1999      | Bao et al.                           | 356   | 519       |                              |
| CL                   | CR 5,915,052    | 06/1999      | Ball                                 | 385   | 24        |                              |
| CL                   | DR 5,956,355    | 09/1999      | Swanson et al.                       | 372   | 20        |                              |
| CL                   | ER 5,963,567    | 10/1999      | Veselka et al.                       | 372   | 21        |                              |
| CL                   | FR 5,982,962    | 11/1999      | Koops et al.                         | 385   | 37        |                              |
| CL                   | GR 5,987,197    | 11/1999      | Kersey                               | 385   | 24        |                              |
| CL                   | HR 5,991,476    | 11/1999      | Baney et al.                         | 385   | 16        |                              |
| CL                   | IR 5,995,255    | 11/1999      | Giles                                | 398   | 34        |                              |
| CL                   | JR 6,008,920    | 12/1999      | Hendrix                              | 398   | 79        |                              |
| CL                   | KR 6,044,189    | 03/2000      | Miller                               | 385   | 37        |                              |
| CL                   | LR 6,072,567    | 06/2000      | Sapack                               | 356   | 32        |                              |
| CL                   | MR 6,097,487    | 08/2000      | Kringlebotn et al.                   | 356   | 450       |                              |
| CL                   | NR 6,111,681    | 08/2000      | Mizrahi et al.                       | 398   | 196       |                              |
| CL                   | OR 6,115,122    | 09/2000      | Bao et al.                           | 356   | 480       |                              |
| CL                   | PR 6,118,530    | 09/2000      | Bouevitch et al.                     | 356   | 308       |                              |
| CL                   | QR 6,134,003    | 10/2000      | Tearney et al.                       | 356   | 479       |                              |
| CL                   | RR 6,188,499 B1 | 02/2001      | Majima                               | 398   | 208       |                              |
| CL                   | SR 6,249,365 B1 | 06/2001      | Mizrahi et al.                       | 398   | 9         |                              |

FOREIGN PATENT DOCUMENTS

|    | Document Number | Date MM/YYYY | Country | Inventor Name | English Abstract |    | Translation Readily Available |    |
|----|-----------------|--------------|---------|---------------|------------------|----|-------------------------------|----|
|    |                 |              |         |               | Enclosed         | No | Enclose                       | No |
| TR |                 |              |         |               |                  |    |                               |    |
| UR |                 |              |         |               |                  |    |                               |    |
| VR |                 |              |         |               |                  |    |                               |    |
| WR |                 |              |         |               |                  |    |                               |    |
| XR |                 |              |         |               |                  |    |                               |    |

OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

|     |  |  |  |
|-----|--|--|--|
| YR  |  |  |  |
| ZR  |  |  |  |
| AAR |  |  |  |
| BBR |  |  |  |

Examiner *Althouse et al.* Date Considered: *10-6-05*

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION OF

Inventor(s): ALTHOUSE et al.  
 Atty.Dkt: 082134/0281109  
 Appn. No.: 09/929,339  
 Filed: August 15, 2001  
 FOR: OPTICAL CHANNEL MONITOR UTILIZING MULTIPLE FABRY-PEROT FILTER PASS-BANDS

Group Art Unit: 2633  
 Examiner: UNASSIGNED

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Date: November 20, 2001

**IDS LETTER CITING APPLICATION(S)**  
**AND ATTACHING PTO-1449/DOCUMENTS**

The Examiner's attention is directed to the following application(s) of:

| Examiner's Initials* | FIRST INVENTOR<br>(Last Name Only) | APPLICATION NO.<br>& Filing Date | ENCLOSED   |
|----------------------|------------------------------------|----------------------------------|--|
| <i>cl</i>            | JOHNSON                            | 09/808,222<br>March 15, 2001     | <input checked="" type="checkbox"/> Spec <input checked="" type="checkbox"/> Drawings <input checked="" type="checkbox"/> Current Claims<br><input type="checkbox"/> Other |
|                      |                                    |                                  | <input type="checkbox"/> Spec <input type="checkbox"/> Drawings <input type="checkbox"/> Current Claims<br><input type="checkbox"/> Other                                  |
|                      |                                    |                                  | <input type="checkbox"/> Spec <input type="checkbox"/> Drawings <input type="checkbox"/> Current Claims<br><input type="checkbox"/> Other                                  |

**PLEASE DO NOT PRINT** the above information on the patent  
 which results from the subject application.

Consideration of each listed application is earnestly solicited since unpublished patent applications are contemplated as IDS material; see the exception in Rule 98(a)(2)(iii) and note the penultimate sentence of MPEP 609.

Should a first action on the merits have been issued on the same day or before this Information Disclosure Statement is filed, please accept this Information Disclosure Statement under Rule 97(c) and charge the requisite Rule 17(p) fee to our Deposit Account No. 03-3975, under Order No. 082134/0281109 and proceed to consider this Information Disclosure Statement.

Further, in keeping with MPEP 609, Subsec. C(2), 2nd para., line 10 to end of the paragraph (especially note lines 18-25) **PLEASE RETURN A COPY OF THIS LETTER** with the Examiner's initials adjacent each above listing so that applicant will know that each listed application has been considered as required by PTO policy. Thanks.

\*The Examiner's initials adjacent a citation indicates he/she has considered the cited application relative to the subject application.

Examiner: Christina Y Leung

10-6-05